
2014

**TRIENNIAL SECURITY REVIEW OF
SACRAMENTO REGIONAL TRANSIT DISTRICT**

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SAFETY AND ENFORCEMENT DIVISION
CALIFORNIA PUBLIC UTILITIES COMMISSION
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2014 TRIENNIAL ON-SITE SECURITY REVIEW SACRAMENTO REGIONAL TRANSIT DISTRICT

ACKNOWLEDGEMENT

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1. EXECUTIVE SUMMARY

The California Public Utilities Commission's (Commission or CPUC) Consumer Protection and Safety Division (CPSD), Rail Transit Safety Section staff (staff), conducted an on-site system security program review of Sacramento Regional Transit District (SRTD) on June 2, 2014.

The on-site review was preceded by an opening conference with SRTD personnel on May 27, 2014. Staff conducted the 2014 SRTD on-site security review on June 2, 2014. The review focused on verifying the effective implementation of the Security and Emergency Preparedness Program Plan (SEPP).

Staff held a post-review conference with SRTD personnel on June 2, 2014. Staff provided SRTD personnel with a synopsis of the preliminary review findings.

The review results indicate that SRTD has a comprehensive system security program and has effectively implemented its SEPP. The findings are described in the Findings and Recommendations sections of each checklist.

The Introduction and Background Sections of this report are presented in Sections 2 and 3 respectively. The Background Section contains a description of the SRTD rail system. Section 4 describes the review procedure. The review findings and recommendations are listed in Section 5. The 2014 SRTD Triennial Security Review: Acronyms List, Checklist Index, Recommendations List and Review Checklist are located in the Appendix A, B, C and D respectively.

2. INTRODUCTION

The Commission's General Order (GO) 164-D *Rules and Regulations Governing State Safety Oversight of Rail Fixed Guideway Systems*, and the Federal Transit Administration's (FTA) Rule, Title 49 Code of Federal Regulations (CFR) Part 659, *Rail Fixed Guideway Systems: State Safety Oversight*, require the designated State Safety Oversight Agencies are to perform a review of each rail transit agency's system safety program at a minimum of once every three years. The purpose of the triennial review is to verify compliance and evaluate the effectiveness of each rail transit agency's System Safety Program Plan (SSPP) as well as Security and Emergency Preparedness Program Plan (SEPP), to assess the level of compliance with GO 164-D as well as other Commission safety and security requirements. Staff conducted the previous on-site security review of SRTD on May 2-6, 2011.

Staff advised the SRTD General Manager/Chief Executive Office (CEO) by a letter dated April 25, 2014 for the scheduling of the Commission's security review on June 2, 2014. The letter included seven checklists that served as the basis for the review. These checklists included reviews of: SEPP Plan Administration, Internal Security Audit Program, Threat and Vulnerability Assessments, Security and Emergency Response Drills and Training, and Security Interaction with the Public.

Staff conducted an opening conference on May 27, 2014 with the SRTD General Manager/CEO and the Executive Management Team.

Staff conducted the on-site security inspections and corresponding records review on June 2, 2014. At the conclusion of each review activity, staff provided SRTD personnel a verbal summary of the preliminary findings and discussed preliminary recommendations for corrective actions, if any.

On July 8, 2014 staff conducted a post-review exit meeting with SRTD's GM/CEO and department managers. Staff notified the attendees of any recommendations for non-compliant findings based on the five triennial security checklists.

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3. BACKGROUND

The Sacramento Regional Transit District (SRTD) is governed by an 11-member board of directors comprised of members of the Sacramento, Rancho Cordova, Citrus Heights, Elk Grove, Folsom City Councils as well as the Sacramento County Board of Supervisors.

SRTD Rail System Description

SRTD currently operates approximately 39 miles, covering a 418 square-mile service area with 50 stations. Light rail trains currently operate from 3:50 AM to 12:47 AM daily with service every 15 minutes during the day and every 30 minutes in the evening, on weekends and holidays. Weekday ridership averages 44,000 passengers.

SRTD began operations in 1973 with the acquisition of the Sacramento Transit Authority. Over the next decade, SRTD continued to expand its bus service while city, county and state government officials worked together to develop a light rail system. In 1987, the 18.3 mile light rail system opened linking the northeast (Interstate 80) and eastern (Highway 50) corridors with downtown Sacramento. In 1998, SRTD began expanding the light rail system to further meet the transportation needs of the Sacramento area. Since then, a number of light rail expansion projects have been completed, including:

- 1998 - 2.3 mile Mather Field extension and Brighton Bridge double track project
- 2003 - Bee Bridge double track project
- 2003 - 6.3 mile South Line Phase I extension
- 2004 - 2.8 mile extension from Mather to Sunrise
- 2005 - 2.4 mile extension from Sunrise to Folsom
- 2006 - 0.55 mile extension to Amtrak
- 2009 - Watt Avenue Grade Separation
- 2012 – Green Line Extension from H Street to T9 Station/Richards Boulevard

In late 2005, SRTD changed its light rail system's names from the North Line, Folsom Line and South Line to the Gold Line and the Blue Line. The Gold Line runs from the Historic Folsom Station in downtown Folsom to the Sacramento Valley Station at the Amtrak Station in downtown Sacramento. The Blue Line runs from the Watt/I-80 Station in the northeast corridor to the Meadowview Station in the south. In 2012, the Green Line was completed serving the T9 Station to Richards Boulevard, which is a one mile extension from the downtown Sacramento to Richards Boulevard and the 7th and Richards/Township 9 Station. This line includes 2 stations and runs a 30 minute service from the Township 9 Station to the existing 13th Street Station.

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The South Sacramento Corridor Phase II is an extension from the Meadowview Station to Consumnes River College, a 4.3 mile extension. At the time of the audit the project was under construction and the extension was opened and placed in service on August 24, 2015.

The Green Line to the Airport project is a future extension extending the system from the Richards Boulevard/Township 9 Station to the Sacramento International Airport.

In 2003, SRTD purchased 21 light rail vehicles from the Santa Clara Valley Transportation Authority. A project is under way to renovate these cars so they may operate on the SRTD light rail system and resemble similar operating conditions of the existing fleet. These cars are expected to be ready for operation during 2015 and 2016.

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4. SECURITY REVIEW PROCEDURE

Staff conducted the 2014 security review in accordance with Rail Transit Safety Section Procedure RTSS-4, *Procedure for Performing On-Site Triennial Safety and Security Reviews of Rail Transit Systems*. Staff developed five checklists to cover various aspects of system security responsibilities, based on Commission and Federal Transit Administration (FTA) requirements, SRTD SEPP, security-related SRTD documents, and the staff's knowledge of SRTD operations. A list of the five checklists is provided in Appendix B.

Each checklist identified security-related elements and characteristics that were either inspected or reviewed by staff. The completed checklists include the findings of staff and recommendations corresponding to findings of non-compliance with the SRTD's SEPP, its procedures, and/or Commission regulations. The methods used to perform the review included:

- Discussions and interviews with SRTD management
- Review of rules, procedures, policies, and records
- Interviews with rank-and-file employees

The review checklists concentrated on requirements that affect the security of rail operations and are known or believed to be important in reducing security hazards and preventing security-related incidents.

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5. FINDINGS AND RECOMMENDATIONS

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APPENDICES

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APPENDIX A

ABBREVIATION and ACRONYM LIST

Abbreviation / Acronym	Description
CAP	Corrective Action Plan
CA MUTCD	California Manual on Uniform Traffic Control Devices
CFR	Code of Federal Regulations
Commission	California Public Utilities Commission
CPSD	Consumer Protection and Safety Division
CPUC	California Public Utilities Commission
FTA	Federal Transit Administration
GO	General Order
HOS	Hours of Service
IIPP	Injury and Illness Prevention Program
ISSA	Internal Safety and Security Audit
OCC	Operations Control Center
PHA	Preliminary Hazard Analysis
PM	Preventive Maintenance
RTCB	Rail Transit and Crossing Branch
RTSS	Rail Transit Safety Section
SCP	Safety Certification Plan
SCVR	Safety Certification Verification Report
SEPP	Security and Emergency Preparedness Program Plan
SSP	System Security Plan
SSPP	System Safety Program Plan
Staff	Safety and Enforcement Division personnel (CPUC)
SRTD	Sacramento Regional Transit District
TSA	Transit Security Administration
TVA	Threat and Vulnerability Assessment

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APPENDIX B
2014 SRTD TRIENNIAL SECURITY REVIEW CHECKLIST INDEX
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APPENDIX C
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RECOMMENDATIONS LIST

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APPENDIX D
2014 SRTD TRIENNIAL SECURITY REVIEW CHECKLISTS
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